IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant

: Ashkenazi et al.

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Examiner

Hamud, Fozia M

Group Art Unit 1647

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DECLARATION OF AVI ASHKENAZI, Ph.D UNDER 37 C.F.R. § 1.132

I, Avi Ashkenazi, Ph.D. declare and say as follows: -

- 1. I am Director and Staff Scientist at the Molecular Oncology Department of Genentech, Inc., South San Francisco, CA 94080.
- 2. I joined Genentech in 1988 as a postdoctoral fellow. Since then, I have investigated a variety of cellular signal transduction mechanisms, including apoptosis, and have developed technologies to modulate such mechanisms as a means of therapeutic intervention in cancer and autoimmune disease. I am currently involved in the investigation of a series of secreted proteins over-expressed in tumors, with the aim to identify useful targets for the development of therapeutic antibodies for cancer treatment.
- 3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
- 4. Gene amplification is a process in which chromosomes undergo changes to contain multiple copies of certain genes that normally exist as a single copy, and is an important factor in the pathophysiology of cancer. Amplification of certain genes (e.g., Myc or Her2/Neu)

gives cancer cells a growth or survival advantage relative to normal cells, and might also provide a mechanism of tumor cell resistance to chemotherapy or radiotherapy.

- 5. If gene amplification results in over-expression of the mRNA and the corresponding gene product, then it identifies that gene product as a promising target for cancer therapy, for example by the therapeutic antibody approach. Even in the absence of over-expression of the gene product, amplification of a cancer marker gene as detected, for example, by the reverse transcriptase TaqMan® PCR or the fluorescence in situ hybridization (FISH) assays -is useful in the diagnosis or classification of cancer, or in predicting or monitoring the efficacy of cancer therapy. An increase in gene copy number can result not only from intrachromosomal changes but also from chromosomal aneuploidy. It is important to understand that detection of gene amplification can be used for cancer diagnosis even if the determination includes measurement of chromosomal aneuploidy. Indeed, as long as a significant difference relative to normal tissue is detected, it is irrelevant if the signal originates from an increase in the number of gene copies per chromosome and/or an abnormal number of chromosomes.
- 6. I understand that according to the Patent Office, absent data demonstrating that the increased copy number of a gene in certain types of cancer leads to increased expression of its product, gene amplification data are insufficient to provide substantial utility or well established utility for the gene product (the encoded polypeptide), or an antibody specifically binding the encoded polypeptide. However, even when amplification of a cancer marker gene does not result in significant over-expression of the corresponding gene product, this very absence of gene product over-expression still provides significant information for cancer diagnosis and treatment. Thus, if over-expression of the gene product does not parallel gene amplification in certain tumor types but does so in others, then parallel monitoring of gene amplification and gene product over-expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression is crucial information for the practicing clinician. If a gene is amplified but the corresponding gene product is not over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.
- 7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so

made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

Date:

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CURRICULUM VITAE

Avi Ashkenazi

July 2003

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29 November, 1956

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Education:

1983:

B.S. in Biochemistry, with honors, Hebrew University, Israel

1986:

Ph.D. in Biochemistry, Hebrew University, Israel

Employment:

1983-1986:

Teaching assistant, undergraduate level course in Biochemistry

1985-1986:

Teaching assistant, graduate level course on Signal Transduction

1986 - 1988:

Postdoctoral fellow, Hormone Research Dept., UCSF, and

Developmental Biology Dept., Genentech, Inc., with J. Ramachandran

1988 - 1989:

Postdoctoral fellow, Molecular Biology Dept., Genentech, Inc.,

with D. Capon

1989 - 1993:

Scientist, Molecular Biology Dept., Genentech, Inc.

1994 -1996:

Senior Scientist, Molecular Oncology Dept., Genentech, Inc.

1996-1997:

Senior Scientist and Interim director, Molecular Oncology Dept.,

Genentech, Inc.

1997-1990:

Senior Scientist and preclinical project team leader, Genentech, Inc.

1999 -2002:

Staff Scientist in Molecular Oncology, Genentech, Inc.

2002-present:

Staff Scientist and Director in Molecular Oncology, Genentech, Inc.

Awards:

1988:

First prize, The Boehringer Ingelheim Award

Editorial:

Editorial Board Member: Current Biology Associate Editor, Clinical Cancer Research. Associate Editor, Cancer Biology and Therapy.

Refereed papers:

- 1. Gertler, A., <u>Ashkenazi, A.</u>, and Madar, Z. Binding sites for human growth hormone and ovine and bovine prolactins in the mammary gland and liver of the lactating cow. *Mol. Cell. Endocrinol.* 34, 51-57 (1984).
- 2. Gertler, A., Shamay, A., Cohen, N., <u>Ashkenazi, A.</u>, Friesen, H., Levanon, A., Gorecki, M., Aviv, H., Hadari, D., and Vogel, T. Inhibition of lactogenic activities of ovine prolactin and human growth hormone (hGH) by a novel form of a modified recombinant hGH. *Endocrinology* 118, 720-726 (1986).
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- 4. <u>Ashkenazi, A.</u>, Pines, M., and Gertler, A. Down-regulation of lactogenic hormone receptors in Nb2 lymphoma cells by cholera toxin. *Biochemistry Internatl.* 14, 1065-1072 (1987).
- 5. <u>Ashkenazi, A.</u>, Cohen, R., and Gertler, A. Characterization of lactogen receptors in lactogenic hormone-dependent and independent Nb2 lymphoma cell lines. *FEBS Lett.* **210**, 51-55 (1987).
- 6. <u>Ashkenazi, A.</u>, Vogel, T., Barash, I., Hadari, D., Levanon, A., Gorecki, M., and Gertler, A. Comparative study on in vitro and in vivo modulation of lactogenic and somatotropic receptors by native human growth hormone and its modified recombinant analog. *Endocrinology* 121, 414-419 (1987).
- 7. Peralta, E., Winslow, J., Peterson, G., Smith, D., <u>Ashkenazi, A.</u>, Ramachandran, J., Schimerlik, M., and Capon, D. Primary structure and biochemical properties of an M2 muscarinic receptor. *Science* **236**, 600-605 (1987).
- 8. Peralta, E. <u>Ashkenazi, A.</u>, Winslow, J., Smith, D., Ramachandran, J., and Capon, D. J. Distinct primary structures, ligand-binding properties and tissue-specific expression of four human muscarinic acetylcholine receptors. *EMBO J.* 6, 3923-3929 (1987).
- 9. <u>Ashkenazi, A.</u>, Winslow, J., Peralta, E., Peterson, G., Schimerlik, M., Capon, D., and Ramachandran, J. An M2 muscarinic receptor subtype coupled to both adenylyl cyclase and phosphoinositide turnover. *Science* **238**, 672-675 (1987).

- 10. Pines, M., <u>Ashkenazi, A.</u>, Cohen-Chapnik, N., Binder, L., and Gertler, A. Inhibition of the proliferation of Nb2 lymphoma cells by femtomolar concentrations of cholera toxin and partial reversal of the effect by 12-o-tetradecanoyl-phorbol-13-acetate. *J. Cell. Biochem.* 37, 119-129 (1988).
- Peralta, E. <u>Ashkenazi, A.</u>, Winslow, J. Ramachandran, J., and Capon, D. Differential regulation of PI hydrolysis and adenylyl cyclase by muscarinic receptor subtypes. *Nature* **334**, 434-437 (1988).
- 12. <u>Ashkenazi., A.</u> Peralta, E., Winslow, J., Ramachandran, J., and Capon, D. Functionally distinct G proteins couple different receptors to PI hydrolysis in the same cell. *Cell* **56**, 487-493 (1989).
- 13. <u>Ashkenazi, A.</u>, Ramachandran, J., and Capon, D. Acetylcholine analogue stimulates DNA synthesis in brain-derived cells via specific muscarinic acetylcholine receptor subtypes. *Nature* **340**, 146-150 (1989).
- 14. Lammare, D., <u>Ashkenazi, A.</u>, Fleury, S., Smith, D., Sekaly, R., and Capon, D. The MHC-binding and gp120-binding domains of CD4 are distinct and separable. *Science* **245**, 743-745 (1989).
- 15. <u>Ashkenazi., A.,</u> Presta, L., Marsters, S., Camerato, T., Rosenthal, K., Fendly, B., and Capon, D. Mapping the CD4 binding site for human immunodefficiency virus type 1 by alanine-scanning mutagenesis. *Proc. Natl. Acad. Sci. USA.* 87, 7150-7154 (1990).
- 16. Chamow, S., Peers, D., Byrn, R., Mulkerrin, M., Harris, R., Wang, W., Bjorkman, P., Capon, D., and <u>Ashkenazi, A.</u> Enzymatic cleavage of a CD4 immunoadhesin generates crystallizable, biologically active Fd-like fragments. *Biochemistry* 29, 9885-9891 (1990).
- 17. <u>Ashkenazi, A.</u>, Smith, D., Marsters, S., Riddle, L., Gregory, T., Ho, D., and Capon, D. Resistance of primary isolates of human immunodefficiency virus type 1 to soluble CD4 is independent of CD4-rgp120 binding affinity. *Proc. Natl. Acad. Sci. USA.* 88, 7056-7060 (1991).
- 18. <u>Ashkenazi, A.</u>, Marsters, S., Capon, D., Chamow, S., Figari., I., Pennica, D., Goeddel., D., Palladino, M., and Smith, D. Protection against endotoxic shock by a tumor necrosis factor receptor immunoadhesin. *Proc. Natl. Acad. Sci. USA.* 88, 10535-10539 (1991).
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- 22. Chamow, S., Kogan, T., Peers, D., Hastings, R., Byrn, R., and <u>Ashkenazi, A.</u>
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- 24. Haak-Frendscho, M., Marsters, S., Chamow, S., Peers, D., Simpson, N., and Ashkenazi, A. Inhibition of interferon γ by an interferon γ receptor immunoadhesin. *Immunology* 79, 594-599 (1993).
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- 39. Pitti, R., Marsters, S., Ruppert, S., Donahue, C., Moore, A., and <u>Ashkenazi, A</u>. Induction of apoptosis by Apo-2 Ligand, a new member of the tumor necrosis factor cytokine family. *J. Biol. Chem.* 271, 12687-12690 (1996).

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- 51. Chuntharapai, A., Gibbs, V., Lu, J., Ow, A., Marsters, S., Ashkenazi, A., De Vos, A., Kim, K.J. Determination of residues involved in ligand binding and signal transmission in the human IFN-α receptor 2. *J. Immunol.* **163**, 766-773 (1999).
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- 54. Hymowitz, S.G., Christinger, H.W., Fuh, G., Ultsch, M., O'Connell, M., Kelley, R.F., <u>Ashkenazi, A.</u> and de Vos, A.M. Triggering Cell Death: The Crystal Structure of Apo2L/TRAIL in a Complex with Death Receptor 5. *Molec. Cell* 4, 563-571 (1999).
- 55. Hymowitz, S.G., O'Connel, M.P., Utsch, M.H., Hurst, A., Totpal, K., <u>Ashkenazi</u>, <u>A.</u>, de Vos, A.M., Kelley, R.F. A unique zinc-binding site revealed by a high-resolution X-ray structure of homotrimeric Apo2L/TRAIL. *Biochemistry* 39, 633-640 (2000).
- 56. Zhou, Q., Fukushima, P., DeGraff, W., Mitchell, J.B., Stetler-Stevenson, M., <u>Ashkenazi, A.</u>, and Steeg, P.S. Radiation and the Apo2L/TRAIL apoptotic pathway preferentially inhibit the colonization of premalignant human breast cancer cells overexpressing cyclin D1. *Cancer Res.* 60, 2611-2615 (2000).
- 57. Kischkel, F.C., Lawrence, D. A., Chuntharapai, A., Schow, P., Kim, J., and Ashkenazi, A. Apo2L/TRAIL-dependent recruitment of endogenous FADD and Caspase-8 to death receptors 4 and 5. *Immunity* 12, 611-620 (2000).
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 Biotechniques 29, 506-512 (2000).
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Varfolomeev, E., Kischkel, F., Martin, F., Wanh, H., Lawrence, D., Olsson, C., Tom, L., Erickson, S., French, D., Schow, P., Grewal, I. and <u>Ashkenazi, A.</u>
Immune system development in APRIL knockout mice. Submitted.

Review articles:

- 1. <u>Ashkenazi, A.,</u> Peralta, E., Winslow, J., Ramachandran, J., and Capon, D., J. Functional role of muscarinic acetylcholine receptor subtype diversity. *Cold Spring Harbor Symposium on Quantitative Biology*. **LIII**, 263-272 (1988).
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- 3. Results with TNF receptor Immunoadhesins for the Treatment of Sepsis. IBC conference on Endotoxemia and Sepsis. Philadelphia, PA, June 1992.
- 4. Immunoadhesins: an alternative to human antibodies. IBC conference on Antibody Engineering. San Diego, CA, December 1993.
- 5. Tumor necrosis factor receptor: a potential therapeutic for human septic shock.
 American Society for Microbiology Meeting, Atlanta, GA, May 1993.
- 6. Protective efficiacy of TNF receptor immunoadhesin vs anti-TNF monoclonal antibody in a rat model for endotoxic shock. 5th International Congress on TNF. Asilomar, CA, May 1994.
- 7. Interferon-γ signals via a multisubunit receptor complex that contains two types of polypeptide chain. American Association of Immunologists Conference. San Franciso, CA, July 1995.
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- Apo-2 Ligand, a new member of the TNF family that induces apoptosis in tumor cells. Cambridge Symposium on TNF and Related Cytokines in Treatment of Cancer. Hilton-Head, NC, March 1996.
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- 15. Immunoadhesins: an alternative to monoclonal antibodies. 5th World Conference on Bispecific Antibodies. Volendam, Holland, June 1997.
- 16. Control of Apo2L signaling. Cold Spring Harbor Laboratory Symposium on Programmed Cell Death. Cold Spring Harbor, New York. September, 1997.
- 17. Chairman and speaker, Apoptosis Signaling session. IBC's 4th Annual Conference on Apoptosis. San Diego, CA., October 1997.
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- 19. Apo2 ligand and its receptors. American Society of Immunologists. San Francisco, CA, April 1998.
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- 48. Apoptosis signaling by death receptors: overview. International Society for Interferon and Cytokine Research conference, Cleveland, OH, Oct 2001.
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